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PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# NEW UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under  
37 CFR 1.53(b))

Attorney Docket Number	22920-06460
First Named Inventor	Xiaodong Huang
Title	QUANTUM DOT VERTICAL CAVITY SURFACE EMITTING LASER
Express Mail Label No.	EL 951616269US

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)</p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>3. <input checked="" type="checkbox"/> Specification <span style="float: right;">Total Pages <span style="border: 1px solid black; padding: 2px;">53</span></span> <i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Descriptive Title of the Invention</li> <li><input type="checkbox"/> Cross Reference(s) to Related Case(s)</li> <li><input type="checkbox"/> Statement Regarding Fed sponsored R &amp; D</li> <li><input type="checkbox"/> Background of the Invention</li> <li><input type="checkbox"/> Brief Summary of the Invention</li> <li><input type="checkbox"/> Brief Description of the Drawing(s)</li> <li><input type="checkbox"/> Detailed Description</li> <li><input type="checkbox"/> Claim or Claims</li> <li><input type="checkbox"/> Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float: right;">Total Sheets <span style="border: 1px solid black; padding: 2px;">28</span></span></p> <p>5. Oath or Declaration</p> <p>a. <input checked="" type="checkbox"/> New Declaration <span style="float: right;">Total Pages <span style="border: 1px solid black; padding: 2px;">2</span></span></p> <p style="margin-left: 20px;"><input type="checkbox"/> Executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i></p> <p style="margin-left: 20px;">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>8. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></p> <p>9. <input checked="" type="checkbox"/> Power of Attorney or Authorization of Agent</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement</p> <p>11. <input type="checkbox"/> Preliminary Amendment</p> <p>12. <input type="checkbox"/> Information Disclosure Statement &amp; PTO-1449</p> <p style="margin-left: 20px;"><input type="checkbox"/> Copies of IDS Citation(s)</p> <p>13. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent</p> <p>14. <input checked="" type="checkbox"/> Return Postcard</p> <p>15. <input type="checkbox"/> _____</p> <p>16. <input type="checkbox"/> _____</p> <p>17. <input type="checkbox"/> _____</p>
<b>ADDRESS TO:</b> <b>Box Patent Application</b> <b>Commissioner for Patents</b> <b>Washington, D.C. 20231</b>	

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS



Customer Number and Bar Code  
Label

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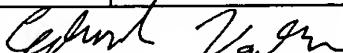
Name (Print/Type)	Edward A. Van Giesen	Registration No. (Attorney/Agent)	44,386
Signature		Date	March 1, 2002

0002/PTO(modified) Rev. 10/2001	U.S. Department of Commerce Patent and Trademark Office	<i>Complete if Known</i>	
<b>FEE TRANSMITTAL</b>		Application Number	Unassigned
		Filing Date	March 1, 2002
		First Named Inventor	Xiaodong Huang
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
<b>TOTAL AMOUNT OF PAYMENT</b> Subtotal (1) + Subtotal (2) + Subtotal (3) = <b>( \$(625.00)</b>		Attorney Docket Number	22920-06460

<b>METHOD OF PAYMENT</b>		<b>FEES CALCULATION (continued)</b>																																																																																																																																																																								
<b>1. The Commissioner is hereby authorized to:</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.</li> <li><input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †</li> <li><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</li> </ul> <p>Deposit Account Number: 19-2555 Deposit Account Name: FENWICK &amp; WEST LLP</p> <p>A Duplicate Copy of this authorization is attached</p> <p><b>2. Payment Enclosed:</b> <input checked="" type="checkbox"/> Check   <input type="checkbox"/> Credit Card   <input type="checkbox"/> Other</p>		<b>3. 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\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

<b>SUBMITTED BY</b>		<i>Complete (if applicable)</i>	
Typed or Printed Name	Edward A. Van Gieson	Reg. Number	44,386
Signature		Date	March 1, 2002

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby